

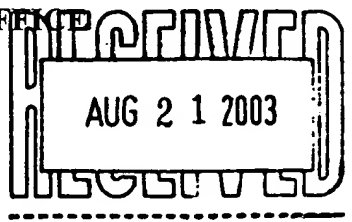


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BT2623
12-16-03

Patent Application

Attorney Docket No. DEM1P001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



In the Patent Application of: **NEAL et al.**

Serial No. : **09/741,958**

Art Unit: 2623

Filed: **December 20, 2000**

Examiner: Robinson Boyce, Aletha K.

For: **PRICE OPTIMIZATION SYSTEM**

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Technology Center 2600

Mail Stop: Non-Fee Amendment
Commissioner for Patents
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I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on August 15, 2003.

August 15, 2003

Signed:
Kang S. Lim

Dear Sirs:

INFORMATION DISCLOSURE STATEMENT FILED

UNDER 37 C.F.R. §§ 1.56 AND 1.97(b)

Pursuant to 37 C.F.R. § 1.56, Applicants bring the following documents to the Examiner's attention in the referenced application.

Citation of the above documents shall not be construed as an admission that the documents are necessarily prior art with respect to the referenced application. Furthermore, citation of the above documents shall not be construed as a representation that a search has been made or an admission that the information cited herein is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

 X 37 C.F.R. § 1.97(b). This Information Disclosure Statement is: (i) filed within three (3)

months of the filing date of the above-referenced application, (ii) believed to be filed before the mailing date of a first Office Action on the merits or, (iii) believed to be filed before the mailing of a first Office Action after the filing of a Request for Continued Examination under §1.114. Accordingly, it is believed that no fees are due in connection with the filing of this Information Disclosure Statement.

- ___ 37 C.F.R. § 1.97(c). This Information Disclosure Statement is filed after the period specified in C.F.R. § 1.97(b), but before the mailing date of either (i) a final action under § 1.113 or, (ii) a notice of allowance under § 1.311.
- ___ A certification pursuant to 37 C.F.R. §1.97(e) or
- ___ A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).

If the Examiner has any questions or comments with respect to the present application, the Examiner is respectfully invited to telephone the undersigned at (925) 570 8198.

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Respectfully submitted,



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U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
DEM1P001SERIAL NO.
09/741,958LIST OF DOCUMENTS CITED BY APPLICANT
TO COMPLY WITH 37 C.F.R. 1.56

APPLICANT

NEAL

FILING DATE
12/20/00GROUP
3623

U.S. PATENT DOCUMENTS

EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	6,025,686	05/18/2000	Fernandez et al.			
	AB	6,173,345	01/09/2001	William A. Stevens			

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FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	BA	WO 98/53415	11/26/1998	Ouimet et al.				

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	CA		"PCT International Search Report", Application Number PCT/US02/36710, mailed July 21, 2003.					
	CB		YOEMAN, JOHN CORNELIUS JR., "The Optimal Offering Price for Underwritten Securities", 1993, Volume 55/01-A of Dissertation Abstracts International, Page 4743 (Abstract Only).					

EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.